

Retention and Classification Report

Agency: Department of Workforce Services. Unemployment Insurance
Section (1458)
140 East 300 South
Salt Lake City, UT 84111
536-7680

Records Officer Kent Naisbitt

14236	Audit reports
25439	Federal Food and Nutrition 209 Reports
25440	Food stamp fraud determination final orders
84111	Fraud decision files
84113	Prosecution files
25438	Public assistance overpayment case files
84112	Unemployment eligibility decision/overpayment case files
07565	Unemployment insurance backup microfilm

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 14236

3

TITLE: Audit reports

DATES: 1989-

ARRANGEMENT: Alphabetical by audit subject

DESCRIPTION:

Internal audits conducted by agency to keep management informed concerning agency assets.

RETENTION:

Retain 7 years

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 7.

AUTHORIZED: 09/06/1994

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until audit complete and then transfer to State Records Center. Retain in State Records Center for 7 years and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Fiscal Historical

Audit reports may be used during the next audit cycle to monitor compliance with internal control program recommendations. They document agency functions and have research value.

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 14236

TITLE: Audit reports

(continued)

PRIMARY CLASSIFICATION:

Protected

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 25439

1

TITLE: Federal Food and Nutrition 209 Reports

DATES: [ca. 1990]-

ARRANGEMENT: Chronological by federal fiscal quarter

ANNUAL ACCUMULATION: 0.30 cubic feet.

DESCRIPTION:

This series includes quarterly reports of food stamp overpayment account status. Information is gathered and these reports are compiled the agency for the U. S. Department of Agriculture, Food and Nutrition Services, as per 7CFR271.8 (2003), 7CFR273.18 (2003), and the Food Stamp Act of 1977. Each report includes a summary section followed by raw data for the quarter. The reports are used by the agency for statistical purposes and are audited annually by the State Auditor.

RETENTION:

Retain 10 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 10 years and then destroy.

APPRAISAL:

Administrative Fiscal

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 25439

TITLE: Federal Food and Nutrition 209 Reports

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 25440

3

TITLE: Food stamp fraud determination final orders

DATES: [ca. 1988]-

ARRANGEMENT: Numerical by Social Security number of ineligible customer

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

This series documents final determination in cases of intentional food stamp program violation or fraud. The records are maintained by the agency to document program fraud and provide grounds for disqualifying customers from future participation in the food stamp program as per federal regulation 7CFR273.16 (2003). Documents in the series include court orders, administrative orders from the Department of Workforce Services, and voluntary acknowledgment documents signed by participants guilty of fraud.

RETENTION:

Retain 100 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/2004

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 100 years and then destroy.

APPRAISAL:

Administrative Legal

This retention is deemed by the agency to be necessary in order to meet the requirements of 7CFR273.16 (2003)

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 25440

TITLE: Food stamp fraud determination final orders

(continued)

PRIMARY CLASSIFICATION:

Private

UCA 63G-2-302

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 84111

3

TITLE: Fraud decision files

DATES: 1989-

ARRANGEMENT: alphabetical by client surname

ANNUAL ACCUMULATION: 78.00 cubic feet.

DESCRIPTION:

These are records of decisions determining if Section 35A-4-104 of the Employment Security Act has been violated and if so, to assess the overpayment required by law. They include form 617, Rebuttal Letter; form 613, Employer Reports; and the written decision. Depending on the type of claim involved, a file may also contain form 680G, School Report; and any other forms or correspondence pertaining to an individual's claim. After 3 months, the file is imaged.

RETENTION:

Retain 8 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 months or until scanned and then destroy provided scanned image has passed inspection.

Computer data files: Retain in Office for 8 years and then delete provided no litigation is pending.

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 84111

TITLE: Fraud decision files

(continued)

APPRAISAL:

Administrative Fiscal Legal

Retention is based on administrative need, i.e., the paper copy is maintained two months before microfilming in case an appeal is filed, and the original is still needed.

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 84113

3

TITLE: Prosecution files

DATES: 1980-

ARRANGEMENT: numeric by social security number

ANNUAL ACCUMULATION:

DESCRIPTION:

This record documents the investigation and prosecution of fraudulent violations of Section 35A-4-104 of the Employment Security Act. The decision to prosecute is determined by the amount of money received fraudulently and/or the presence of a significant identifiable scheme, e.g. use of a false Social Security number or a dummy claimant. It contains 613, Employer Reports; a copy of the claimant's benefit transcript showing a record of the unemployment compensation payments made to him; the Initial, Additional or Reopened Claim for Benefits; Warrants; the decision of the adjudicator; and/or any other forms or correspondence pertaining to an individual's claim as deemed necessary for the case. In addition, the record contains transmittal documents, information documents, and copies of both the summons and court record pertaining to the prosecution. If fraud is determined by the adjudicator and meets required monetary criteria, the case is turned over for prosecution to either the local authority (if within the 4-year statute of limitations) or to the U.S. Attorney (5-year statute of limitations and allowable because of federal dollars in the unemployment compensation program.) When probation has been completed, the record will be imaged.

RETENTION:

Retain 8 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/2001

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 84113

TITLE: Prosecution files

(continued)

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until scanned or until probation has been completed and then destroy.

Computer data files: Retain in Office for 8 years and then delete provided no litigation is pending.

APPRAISAL:

Administrative Fiscal Legal

PRIMARY CLASSIFICATION:

Public	Except those portions not used in evidence of criminal prosecution
--------	--

SECONDARY CLASSIFICATION(S):

Private.	Except for the portion of information used in the criminal prosecution which is public.
Controlled.	Criminal history record both before and as a result of prosecution for Unemployment Insurance fraud.

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 25438

3

TITLE: Public assistance overpayment case files

DATES: 2003-

ARRANGEMENT: Alphabetical by client surname

ANNUAL ACCUMULATION: 120.00 cubic feet.

DESCRIPTION:

This series contains case files documenting overpayment to public assistance recipients and efforts of the agency to recover overpayments. The files may contain a variety of documentation, including abstracts, correspondence, Notices of Agency Action, criminal information, garnishment-related materials, records of court action, and bankruptcy information.

RETENTION:

Retain 5 years after closure of case.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 5, Item 1.

AUTHORIZED: 06/17/2004

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after closure of case and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

Administrative Legal

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 25438

TITLE: Public assistance overpayment case files

(continued)

PRIMARY CLASSIFICATION:

Private UCA 63G-2-302 (2008)

SECONDARY CLASSIFICATION(S):

Controlled. UCA 63G-2-304 (2008)

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 84112

3

TITLE: Unemployment eligibility decision/overpayment case files

DATES: 1989-

ARRANGEMENT: alphabetical by client surname

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

This record documents the investigation process used to determine whether or not a claimant is eligible to receive unemployment and properly paid. These files may contain form 606 or 615C Employer Reports; forms 615C, 680T, or 680G, Claimant Statements; form 615C, written decisions, as well as any other paper work or correspondence used to document the eligibility decision or overpayment of benefits. After three months, these records will be imaged.

RETENTION:

Retain 8 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 months or until scanned and then destroy provided appeal is not pending.

Computer data files: Retain in Office for 8 years or until account is settled whichever is longer and then delete.

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 84112

TITLE: Unemployment eligibility decision/overpayment case files

(continued)

APPRAISAL:

Administrative Fiscal Legal

Retention is based on administrative need, i.e., the paper copy is maintained two months before microfilming in case an appeal is filed, and the original record is still needed.

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 7565

3

TITLE: Unemployment insurance backup microfilm

DATES: 1984-

ARRANGEMENT: Numerical by roll number

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These rolls of duplicate microfilm are created by the Technical Services and Collections Sections of the Department of Employment Security and are given to the Internal Audit Section as a security measure. These duplicates are neither audited nor used to respond to public requests for wage and unemployment insurance data. They are considered a security measure in the event of a system crash.

RETENTION:

Retain 10 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Microfilm duplicate: Retain in Office until 1991 or for 6 months, whichever is later, and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

AGENCY: Department of Workforce Services. Unemployment Insurance Section

SERIES: 7565

TITLE: Unemployment insurance backup microfilm

(continued)

APPRAISAL:

Administrative

This disposition is based on the administrative need expressed by section auditors to guarantee security of system backup.

Furthermore, it recognizes that requests for wage and unemployment insurance information often go back 15 years.

PRIMARY CLASSIFICATION:

Private